

ACDEANINST 3920.1(K)L
2/DRS
(8 Nov 95)

ACADEMIC DEAN AND PROVOST INSTRUCTION 3920.1(K)L

From: Academic Dean and Provost

Subj: RESEARCH BY NAVAL ACADEMY FACULTY

Ref: (a) ACDEANINST 5370.4D
(b) ACDEANINST 12630.3F
(c) USNA Faculty Handbook
(d) USNAINST 4001.2H
(e) USNAINST 7820.3
(f) USNAINST 4651.2F
(g) ACDEANINST 1553.1F
(h) ACDEANINST 12450.1A
(i) ACDEANINST 4001.2
(j) USNAINST 3900.1
(k) ACDEANINST ????? (Kinnear)

Encl: (1) External Research Proposals
(2) Format for Internal Research Proposals
(3) Format for Year-end Reports

1. Purpose. To establish USNA research policy, application guidelines, and format.

2. Cancellation. ACDEANINST 3920.1(J)K. (*The Director of Research and Scholarship (DRS) is the new title of the Director of Research and that change is reflected throughout this instruction.*) **This instruction reflects changes made regarding reimbursable accounts, NARC procedures, the Kinnear Fellowship, and Human Subject Research.**

3. Policy. In support of the Naval Academy's education mission, faculty must maintain currency in their disciplines. Naval Academy policy is to promote and maintain an environment in which research activities contribute to the professional growth of both faculty and midshipmen. The principal means of research support is through internal and external sponsorship of faculty (*intersessional*) research projects **that are carried out during the intersessional period or the academic year.** Naval Academy policy, in particular, is:

a. To give junior, tenure track faculty the highest priority for seed funding provided by the Academic Dean and Provost; and

b. To offer appropriate incentives, including matching grants, recognition grants, (*and temporary pay step incentives*), **and incentive awards** to all faculty who are successful in acquiring external research support. Overall accountability for the Naval Academy research program rests with the Academic Dean and Provost.

4. Definitions

a. Incentive grants and pay actions. Several incentives are available for faculty who acquire external research support.

(1) Matching Grants. Available for faculty applying to work in Navy laboratories during the summer intersessional. Funding provided to the Academy by the Chief of Naval Research will support up to 1 month matching funds for salary awarded by the respective laboratory. Matching grants are not available when the external sponsor has made full intersessional salary available. Application procedure is outlined in 5a(1)(e).

(2) Recognition Grants. Available for faculty who have acquired partial external research support; grants may be up to 1 month's summer intersessional salary. The grant is both recognition of faculty research initiatives and an incentive to seek outside resources. Grants are subject to funding availability and will not normally exceed \$4,000. Final approval is by the Academic Dean and Provost. Application procedure, through the DRS, is outlined in 5a(1)(e).

((3) Incentive Pay Steps. Available only for those faculty who have acquired full reimbursable intersessional salary. A temporary increment of up to 5 pay steps in the individual faculty member's rate of pay, depending on the level of reimbursable funds available, will be approved by the Academic Dean and Provost for the duration of the summer intersessional. Application procedure is outlined in 5a(1)(e), below.)

(3) Special Act Awards. Available only for those faculty who have acquired full reimbursable intersessional salary. The individual faculty, depending on the level of O&MN funds available, will receive a special Act award of \$ 1,000 by the Academic Dean and Provost.

b. Competitive Category Grants ("NARC Grants"). These grants are funded through resources controlled by the Academic Dean and Provost. Faculty grant applications are reviewed and placed in priority order for the Academic Dean and Provost by the Naval Academy Research Council. Application procedure is outlined in 5a(2).

(1) Seed Grants. All full-time untenured tenure-track faculty are eligible to apply. Seed Grants are intended to support these faculty in research projects which will assist them in getting established in their field. **Untenured faculty members in the Divisions of Engineering and Weapons and Mathematics and Sciences are eligible to receive full summer funding from a fund provided by the Office of Naval Research (ONR) for two of the first three years of employment at USNA. All other untenured faculty members are eligible to receive a grant not to exceed \$ 6,000.**

Application procedure for Seed Grants is outlined in 5a(2).

(2) Research Grants. Available for intersessional research support of tenured faculty who

(a) have a recent, tangible record of research outcomes, such as conference papers, published articles and monographs;

(b) present a project of unusual promise and reasonable assurance of completion in a timely fashion;

(c) have a demonstrated need for "seed" funds to start a new project.

Because these grants are internally funded through the Academic Dean's O&M,N labor account, resources in support of these proposals may be extremely limited and will generally be awarded late in the academic year after all other category grant requests have been fully funded. Highest priority for these grants will go to faculty who have applied without success for outside resources. Faculty Research Grants will usually not exceed \$6,000 and will not normally be announced prior to 1 June. Application procedure is outlined in 5a(2).

c. Other Faculty Development Grants. As other faculty development resources become available, the Academic Dean and Provost will announce these opportunities by separate means.

5. Action

a. Faculty. Research and scholarly work at the Naval Academy, sponsored or unsponsored, originate from proposals by the faculty.

(1) Externally Funded Research. Faculty seeking external research grants, contracts, or agreements with federal or private sponsors must establish budgets and obtain Naval Academy authorization via their chain of command through the DRS, who approves such applications for the Academic Dean and Provost. Faculty interested in external research proposals should contact the Research Office early in the process to familiarize themselves with requirements, formats, and documentation. Application worksheet for external funding is provided in enclosure (1).

(a) External grant applications will include funding for all appropriate labor, travel, per diem, equipment, supplies, and services within the Naval Academy, including such support expected, for example, from the Technical Support Department, the Hydromechanics Laboratory, Computer Services, Nimitz Library, and other USNA resources.

(b) Faculty proposing reimbursable research during the academic year may request teaching release time of the Academic Dean and Provost via their department chair and division director.

(c) Faculty seeking part-time outside employment, whether research-related or not, are to be guided by reference (a).

(d) Faculty seeking leave without pay to pursue temporary full-time outside employment are guided by references (b) and (c).

(e) Applications for external research support may be submitted throughout the calendar year. Requests for matching grants, recognition grants, and incentive pay steps must reach the DRS no later than 1 June in order to be considered for the upcoming summer intersessional period.

(2) Internally Funded Research. Competitive category grants ("NARC Grants") are reviewed and placed in priority order by the Naval Academy Research Council. Approval is by the Academic Dean and

Provost. As noted above, highest priority for intersessional research support provided through O&M,N resources of the Academic Dean and Provost are junior, tenure-track faculty. Other faculty may apply for NARC grants, and their applications will be considered for funding based on the availability of resources.

(a) Application Process. Application procedure is outlined in 5a(1)(e). Application format for internally funded research is provided in enclosure (2). The original and 7 copies of each proposal will be submitted to the Academic Dean and Provost, via the department chair, division director, and the DRS who will provide, with the assistance of the Naval Academy Research Council, a priority ranking of all competitive category grants to the Academic Dean and Provost. Deadline for all competitive category applications is (15 December) **30 November**.

(b) Timetable for Announcement of Grants. Seed Grant applicants will be notified as soon as budgets for the remainder of the fiscal year are settled. Research Grant applicants will normally be informed of the outcome of their proposals about 1 June.

(c) Application procedure for the Kinnear Fellowship is outlined in reference (k).

b. Department Chairs

(1) Endorsement of research grant proposals. Department chairs provide a first endorsement on all research proposals forwarded via the division director to the DRS (external grants) or the Academic Dean and Provost (internal grants).

(a) Departmental Review. Department chairs must be aware of their double responsibility to the institution and the individual faculty member in preparing their endorsement. In their fiduciary role as an officer of the Naval Academy, they must provide a reasonable assessment of the applicant's ability to undertake the project. In their role as principal mentor to the civilian faculty, the department chairs must assess proposed projects in the context of the applicants' overall career progression at the Academy.

(b) Priority Ranking. Department chairs (*may call*) **are strongly encouraged to call** upon departmental committees to assist them in the responsibilities outlined in 5b(1)(a). Applications for competitive category grants internal to USNA (Seed Fund Grants and Faculty Research Grants) shall be critiqued and may be ranked by grant category as to relative merit.

(c) Accountability. Department chairs shall ensure that all successful grant applicants meet requisite deadlines for accountability of funds and outcomes.

c. Division Directors. Shall review departmental endorsements for competitive category grants internal to USNA. Division directors shall assist department chairs, where necessary, in their accountability oversight role.

d. Naval Academy Research Council (NARC)

(1) Membership. The NARC consists of 3 representatives

each from the Divisions of Engineering and Weapons, Humanities and Social Sciences, and Mathematics and Science; a representative from the Commandant's organization (Division of Professional Development, Physical Education Department), and a representative-at-large from the Faculty Senate Academic Affairs Committee. Prospective NARC members are nominated by the Senate after consultation with their respective division directors and department chairs. Nominations are forwarded by the Senate to the Academic Dean and Provost for review and appointment.

(2) Term of office. NARC members will serve for 3 years. They may be appointed again only after 3 years' absence from the Committee. In light of their duties, NARC members are expected to be experienced, research-oriented faculty.

(3) Responsibilities of the Naval Academy Research Council

(a) Review and provide priority ranking of all internal, competitive category grants ("NARC grants"). The NARC will maintain detailed minutes of all deliberations and will meet with the Academic Dean and Provost as necessary to clarify the rationale for all funding priorities and recommendations.

(b) Promote, at the respective divisional level, collaboration of all faculty with external sponsors and assist in faculty applications to external sponsors where possible.

(c) Review and rank all NARC research reports, suggesting strengths, weaknesses and possible future external sponsors in a letter of response to the faculty author.

e. Director of Research and Scholarship. The DRS serves as the primary manager of all research activities at the Naval Academy. The duties of the DRS are:

(1) To provide and maintain an environment in which research activities contribute to the professional growth of midshipmen and faculty;

(2) To support program development, proposal preparation, sponsor identification, project administration and reporting of results;

(3) To maintain administrative control over the disposition of all NARC research funds and cognizance over all reimbursable research support;

(4) To actively seek support for research at the Naval Academy from federal agencies, educational institutions, and industry;

(5) To serve as the focal point for research and technology applications and scientific and technical information for the Naval Academy, and assist in the preparation of disclosures, patents, copyrights, Cooperative Research and Development Agreements and reports to the Defense Technical Information Center;

(6) To serve as chair of the Research Excellence Award Committee and Service Excellence Award Committee to identify annually the recipient of the Alumni Association Excellence Awards in these areas in

accordance with reference (h);

(7) To **co-administer with the Director of Teaching and Learning** the Faculty Development Fund in accordance with reference (i); and

(8) To serve as consultant to the Promotion and Tenure Committee in issues related to research and scholarship.

6. Restrictions on all internally and externally USNA-sponsored research.

a. Leave Policy

(1) NARC grant recipients. Faculty with NARC grants may request paid leave during the intersessional period up to the number of days accrued during the grant period, if approved by their department chair or other designated first-line supervisor.

(2) External grant recipients. Faculty receiving full external research support during the intersessional period may, **in addition**, request up to 2 weeks' leave during the intersessional period. For approval, however, they must meet the following requirements:

(a) They must have the approval of their department chair and division director;

(b) They must have the concurrence of their research sponsor;

(c) They must formally designate to their administrative chain of command and the DRS a corresponding number of days during the academic year to offset the leave taken during the summer intersessional period.

Formal requests from faculty receiving reimbursable intersessional support should be forwarded to the DRS, via the department chair and division director. Electronic submissions of such requests, with appropriate endorsements, are encouraged.

b. Review of Materiel Procurement

(1) Purchase orders and travel orders of all grant recipients, external and internal, must proceed to the Supply Department via the DRS to ensure that line of accounting, items purchased, and account balance are appropriate to the grant. The DRS will normally process these purchase orders and travel orders on a same-day basis. Faculty with unavoidably late orders or special delivery time requirements should also inform the Supply Department Control Division.

(2) Division financial technicians will report on a (weekly) **monthly** basis to the DRS the status, by individual account, of reimbursable funds within their division.

c. Prior Review Requirements. Results of funded research in national and foreign policy, weapons systems, military operations, nuclear, chemical, biological, laser and beam weapons technology, communications and computer security may not be openly published or publicly presented by faculty without prior review or written approval by

their sponsors or the DRS. Faculty intending research with human or animal subjects must inform the DRS.

d. Intellectual Property Rights. Publications may be copyrighted by individual faculty or their designees if prepared by faculty on their own time and facilities. Faculty are encouraged to disclose through the DRS their inventions and these may result in patents, awards, licenses and shared royalties. Faculty funded in science and technology will, at the request of the DRS, complete a Work Unit Information Summary for the Defense Technical Information Center.

e. Summer Timekeeping

(1) Department chairs are accountable for accurate completion of payroll records. Consistent with the Naval Academy's fiduciary responsibilities vis-a-vis research sponsors as well as with our own timekeeping procedures for civilian faculty, any faculty slated to be paid during the summer intersessional must meet at least one of the following conditions in order for chairs to complete their payroll designating that they be paid during a given pay period:

(a) The faculty member is at work in a Naval Academy office, classroom, laboratory, or other Annapolis Area Complex facility.

(b) The faculty member is conducting off-site research at a location within the defined commuting area clearly and unambiguously associated with their summer employment and approved by the chair and the research sponsor. Timekeepers retain for reference a copy of the Annapolis commuting area definition. Libraries, laboratories, and other such facilities clearly meet this criterion.

(c) The faculty member is conducting work outside the defined Annapolis commuting area clearly and unambiguously related to their summer employment and is covered by travel orders (cost or no-cost) for the period that the faculty member is away from the Annapolis commuting area.

(d) The faculty member is in pre-approved annual leave status.

(2) Absent meeting one of these conditions, the faculty member will be placed in a leave without pay (LWOP) status.

(3) Departments will forward to the Office of the Academic Dean and Provost by 1 May a comprehensive list of faculty pay status, including the sponsor for each day of the intersessional period, or leave without pay. Any changes to this list prior to 15 June will be reported immediately to the Office of the Academic Dean and Provost. Based on this information Academic Dean and Provost Office personnel will provide timekeepers with a binding schedule of authorized pay, leave, and LWOP days for the intersessional. All intersessional payroll records for faculty will be reviewed by Academic Dean and Provost Office personnel for compliance with this timekeeping schedule.

f. Reference (d) applies for administration of reimbursable funds.

g. Reference (e) applies for administration and accountability of non-appropriated funds, such as the Faculty Development Fund.

7. Restrictions on "NARC Grants"

a. Term of Grant. The term of NARC grants will normally extend from the time of the award for *(one calendar year)* **the duration of the award, which may be multi-calendar years. Normally, a multi-year grant's duration will be up to three years. However, grants whose natural durations are longer than three years will also be considered.** Within the context of their overall responsibilities as full-time faculty members at the Naval Academy, recipients of NARC grants are expected to devote full reasonable effort to their proposed research project.

b. Expiration of Funding. NARC-related O&M,N labor funds will be granted only for *(the summer intersessional)* **summer intersessionals.** All funds must be expended by the end of the fiscal year, although work may continue for the calendar year as described in 7a.

c. Travel Expenses. In addition to faculty salary support, NARC grants may include requests for essential research-related travel. Mileage charges for travel within normal commuting distance of Annapolis are not allowed. Approved travel will be carried out in accordance with reference (f). NARC-funded travel order requests will be forwarded from the department to the USNA travel office via the DRS and the respective academic division director.

d. Application Eligibility. NARC grants are available only to full-time tenure-track or tenured faculty members who hold appointments at the Naval Academy during the entire grant period.

e. Curriculum Development Projects. NARC grants are not normally for projects directly related to changes or improvement of the USNA curriculum. These will generally fall more appropriately under the purview of the Naval Academy Curriculum Review Committee, which provides recommendations to the Academic Dean and Provost on Curriculum Development Project proposals, in accordance with reference (g).

f. Dual Compensation Exclusion. NARC funds may not be used as a salary supplement by faculty members who are otherwise employed full time by the federal government during the summer intersessional.

g. Funds Limited to Approved Project. Research funds awarded for a project will be used for that project only, and in the manner described in the proposal approved by the Academic Dean and Provost. Requests for major changes in the object, scope or budget of a NARC funded project will be forwarded to the DRS via the chain of command.

h. Copies of Resulting Papers, Articles, *(, or Presentations.* NARC fund recipients will forward a copy of any paper, article, or presentation concluded as a result of NARC support to the DRS and the Assistant Librarian for Collection Development, Nimitz Library.) **DoD fund recipients will forward two copies of any paper or article published as a result of DoD supported research to the DRS for the purpose of submission to the Defense Technical Information center (DTIC).**

i. Acknowledgment of NARC Support. Any publications resulting

from NARC funding must acknowledge this support.

j. Submission of Year-End Reports. NARC recipients must submit a year-end summary report to the DRS via the department chair and division director. This report is due (15 December) **30 November**. Format is provided in enclosure (3). After their first NARC grant, faculty submitting proposals for internal research support must also include the summary report from their last grant. **Faculty who are funded a multi-year NARC grant must submit a year-end summary report after each intermediate year, and a final report at the termination of the grant.**

(ROBERT H. SHAPIRO) W. C. Miller

Distribution:

AC

NARC members

DRS

President, Faculty Senate

=====

Enclosure (1)

ACDEANINST 3920.1(K)L
(8 Nov 95)

The information provided in this enclosure must be present in the research Office in order for the Comptroller to accept receipt of outside funding .

EXTERNAL RESEARCH PROPOSALS

From: (Rank, Name) E-mail Address: Phone No.:
To: Director of Research and Scholarship
Via: (1) Chair, Department of _____
(2) Director, Division of _____

Subj: EXTERNAL RESEARCH PROPOSAL

Encl: (1) Attachments, as necessary, for paragraphs 3 and 4 (c), (d), (e), (f), (g), below

1. Proposal Title.

2. Sponsor name and complete address, including E-mail and phone number.

3. Statement of Work. Include a budget justification and a detailed description of work to be performed. Make explicit any USNA matches in this effort (such as USNA equipment, Technical Support labor, library equipments and journals). Alternatively, attach a copy of the proposal if one is being submitted to the sponsor.

4. This research will _____, or will not _____, involve human subjects. If it will, consult USNAINST 3900.1.

3 5. I request: _____100% external funding _____CNR Matching Grant
_____Recognition Grant

4 6. The following expense elements should be discussed with the Research Office (x32504) prior to final submission of this package.

Expense Element	Funded by Sponsor	Funded by USNA
-----------------	-------------------	----------------

a. Total Salary
(days/cost):

Requested project
paystep level _____
including _____ temporary
intersessional paysteps
and acceleration rate _____.

b. Travel, local or other (E).
Give destinations and rationale.

c. Equipment costs (W):
Purchase and maintenance.

d. Purchased Services (Q).
Include faculty publications
and Nimitz Library searches.

e Support personnel (U).
Include clerical and
technical staff , e.g.
TSD and Hydromechanics Lab.

f. Supplies and materials (T).
Include Nimitz Library journals,
books, and other materials.

g. TOTAL COST

5 7. Proposed summer leave plans.

a. Source of intersessional leave (See para 6.a.(2)).
(Total days offset)
(Total days accrued)

b. Intersessional Leave Offset:
Specific dates when leave is to be taken (if known)
and offsetting research dates are scheduled:
(Dates of research work)
(Dates of proposed leave)

Date

Signature

USNA CCA 3920/1 (10-95)

=====

Enclosure (2)

ACDEANINST 3920.1(K)L

(8 Nov 95)

Internal research proposals may be multi-year grants. A multi-grant proposal should indicate a time table of when the various stages of the grant will be accomplished. For instance, the first year one could expect a presentation in a conference, the second year a publication in a journal, etc., with the understanding that these dates and accomplishments may differ from proposal to proposal and may depend on the nature of the research that is being undertaken.

The merit of the proposal and the research record of the individual proposer will be the primary factors in ranking proposals. The fact that a proposal is a single-year or multi-year will not play a role in the ranking.

In the Engineering and Weapons and Mathematics and Sciences Divisions, multi-year grants apply to seed money candidates with the restriction that full summer funding provided by ONR is relevant for only two of the first three years of an untenured faculty member's employment.

It is important for the internal research candidates to realize that

- a) they do not have to write multi-year grants, but if they do the subsequent years' ranking of their proposal will be based on the merit of their year-end-summary reports. It is strongly recommended that additional supporting evidence of research output, such as the first draft of an article or a chapter of book that is going to be the final output of the funded research, be submitted to the NARC committee.
- b) every year's funding is contingent upon availability of funds.

FORMAT FOR INTERNAL RESEARCH PROPOSALS

From: (Rank, Name)

To: Academic Dean and Provost

Via: (1) Chair, Department of _____
(2) Director, Division of _____
(3) Director of Research and Scholarship

Subj: SUBMISSION OF NARC RESEARCH PROPOSAL ENTITLED "_____"

Ref: (a) ACDEANINST 3920.1(K)L

Encl: (1) NARC Year-End Summary Report (after first grant **or the first year of a multi-year grant**)

1. Enclosure (1) is attached for review by NARC in accordance with reference (a).
2. SUMMARY OF RESEARCH. (Non-technical language; first page only.)
3. PROBLEM STATEMENT AND BACKGROUND. (Detailed)
4. METHOD OF INVESTIGATION AND INVESTIGATORS EXPERIENCE.
5. VALUE OF PROJECT TO THE ACADEMY, NAVY OR FIELD OF STUDY.

6. OUTSIDE COMMITMENTS. (Indicate details of outside teaching, consulting, professional societies, etc. demanding on your time.)

7. RESEARCH AWAY FROM THE NAVAL ACADEMY. (Give locations and dates when research will be performed away from the Naval Academy.)

8. RESUME. (Include publications in the categories of monographs, journals, conference papers, and reports indicating level of your contribution for multiple authors, and NARC-supported publications.

9. BUDGET (Operation and Maintenance, Navy funds).

a. LABOR:

- (1) Number of days personal funding (give dates) _____
(2) Number of days technical and clerical support _____

b. MATERIEL:

- (1) Equipment _____
(2) Supplies _____
(3) Materials _____
(4) Travel(list destinations and objectives) _____
(5) Purchased services _____

TOTAL Materiel _____

Date Signature

=====

Enclosure (3)

ACDEANINST 3920.1(K)L
(8 Nov 95)

FORMAT FOR YEAR-END SUMMARY REPORT

TITLE:

INVESTIGATOR: (Rank, Name, Department)

BACKGROUND:

OBJECTIVE:

METHOD AND RESULTS:

PUBLICATIONS: (NARC supported)

PRESENTATIONS: (NARC supported)

Date

Signature